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DB=PGPB,USPT,USOC,EPAB,JPAB,DWPI,TDBD; PLUR=YES; OP=OR

<u>L10</u>	(trad\$ near debt near instruments or debt near instruments near trad\$)	12	<u>L10</u>
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<u>L8</u>	trad\$ near securities near debt near instruments	0	<u>L8</u>
<u>L7</u>	securities near instruments near trad\$	18	<u>L7</u>
<u>L6</u>	707/104.1	3802	<u>L6</u>
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L9: Entry 4 of 5

File: USPT

Aug 31, 1999

US-PAT-NO: 5946667

DOCUMENT-IDENTIFIER: US 5946667 A

TITLE: Data processing system and method for financial debt instruments

DATE-ISSUED: August 31, 1999

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Tull, Jr.; Robert Stanley	Levittown	PA		
Weisberger; David M.	London			GB
Fox; John Vincent H.	Esher, Surrey			GB
Karsenty; Myriam Joelle	New York	NY		

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Morgan Stanley Group, Inc.	New York	NY			02

APPL-NO: 09/ 071437 [\[PALM\]](#)

DATE FILED: May 1, 1998

PARENT-CASE:

This is a continuation of application Ser. No. 08/223,797, filed Apr. 6, 1994 now abandoned.

INT-CL: [06] [G06 F 17/60](#)

US-CL-ISSUED: 705/36; 705/35, 705/37

US-CL-CURRENT: [705/36](#); [705/35](#), [705/37](#)

FIELD-OF-SEARCH: 705/35, 705/36, 705/37, 705/30, 705/31, 705/400, 707/104, 707/101, 707/530, 707/531

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

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	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
<input type="checkbox"/>	4674044	June 1987	Kalmus et al.	705/37
<input type="checkbox"/>	4677552	June 1987	Sibley, Jr.	705/37
<input type="checkbox"/>	5038284	August 1991	Kramer	705/37

<input type="checkbox"/>	<u>5101353</u>	March 1992	Lubien et al.	705/37
<input type="checkbox"/>	<u>5126936</u>	June 1992	Champion et al.	705/36
<input type="checkbox"/>	<u>5132899</u>	July 1992	Fox	705/36
<input type="checkbox"/>	<u>5270922</u>	December 1993	Higgins	705/37
<input type="checkbox"/>	<u>5297032</u>	March 1994	Trojan et al.	705/37
<input type="checkbox"/>	<u>5644727</u>	July 1997	Atkins	705/40
<input type="checkbox"/>	<u>5682466</u>	October 1997	Maeda et al.	706/46

OTHER PUBLICATIONS

Eligin; "SPDR Web Ensnarers Both Active, Passive Fund Managers"; Corporate Cashflow; v14 n13; pp. 5-6; Dialog: File 485, Acc#00440032.
Friedman et al.; "It's a Bond, It's a Stock, It's . . . A Lyon?"; Business Week; Aug. 6, 1990; p. 66.
Chiappinelli, "Reinventing a Security: Arguments for a Public Interest Definition," Washington and Lee Law Review, vol. 49, Sections 957-985 (Summer 1992).
Steiner, "New Amex `Spiders` Mimic S&P Index, " The Wall Street Journal, Feb. 22, 1992.
Wilcox, "EAFE is for Wimps," The Journal of Portfolio Management (Spring 1994), pp. 68-75.

ART-UNIT: 271

PRIMARY-EXAMINER: Tkacs; Stephen R.

ATTY-AGENT-FIRM: Pennie & Edmonds LLP

ABSTRACT:

A data processing system and method is disclosed for implementing and control of a financial debt instrument which is issued for a limited period of time and is traded as a listed security. The debt instrument is based on an underlying basket of stocks optimally selected to track an established capital market and its price also reflects accrued investment income and maintenance expenses. The data processing system receives input from the capital market and periodically evaluates the performance of the financial debt instrument, reporting its price to customers. Also disclosed is a data processing system for administering an investment group of such debt instruments designed to track the performance of several domestic and foreign markets, estimate their return and provide current price information to customers.

39 Claims, 7 Drawing figures